



**REPORT TO:** PERFORMANCE & AUDIT COMMITTEE – 1ST FEBRUARY 2023  
**REPORT ON:** DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP STRATEGIC RISK REGISTER UPDATE  
**REPORT BY:** CHIEF FINANCE OFFICER  
**REPORT NO:** PAC5-2023

**1.0 PURPOSE OF REPORT**

1.1 The purpose of this report is to update the Performance and Audit Committee in relation to the Strategic Risk Register and on strategic risk management activities in Dundee Health and Social Care Partnership.

**2.0 RECOMMENDATIONS**

It is recommended that the Performance & Audit Committee (PAC):

- 2.1 Note the content of this Strategic Risk Register Update report.
- 2.2 Note the extract from the Strategic Risk register attached at Appendix 1 to this report.
- 2.3 Note the recent work and future work on the Pentana Risk Management System in Section 7 of this report.

**3.0 FINANCIAL IMPLICATIONS**

3.1 None.

**4.0 BACKGROUND**

- 4.1 The Dundee HSCP Strategic Risk Register is regularly presented to the NHS Tayside Strategic Risk Management Group and is available to Dundee City Council Risk and Assurance Board through the Pentana system.
- 4.2 Operational Risks are reviewed by the Clinical Care and Professional Governance forum with any significant areas of concern which may impact on the ability of the IJB to deliver its Strategic and Commissioning Plan reported to the PAC through the Clinical Care and Professional Governance Group's Chairs Assurance Report.
- 4.3 Operational Risks which should be escalated are identified through Senior Management meetings, the Clinical Care and Professional Governance forum and through reports to the IJB and PAC.

**5.0 STRATEGIC RISK REGISTER UPDATE**

5.1 The three highest scoring risks on the Strategic Risk Register remain the same as the previous Risk Register Update in September. They are: Staff Resource - Clinical; Dundee Drug and Alcohol Recovery Service; and the National Care Service.

- 5.2 The Strategic Risk Register extract details the most recent updates and a brief description of the mitigating control factors identified.
- 5.3 All strategic risks are reviewed regularly and mitigating actions recorded and scored. Further development work is underway to link risk with performance as recommended in the Internal Audit Report on Performance Management presented to the PAC at its meeting on 24<sup>th</sup> March 2021 (Item VI of the minute refers).
- 5.4 As noted in PAC Report PAC9-2023 Sustainability of Primary Care on this meeting agenda, there are a number of recommendations and actions relating to risk management around Primary Care which will require further development work and will impact on the IJB's Strategic Risk Register. These will be reflected in future Risk Management Reports.

## **6 RISKS**

- 6.1 The majority of risks and scores remain the same as the previous update in November.
- 6.2 An emergent risk that is being scoped for entry on the Strategic Risk Register is the impact of potential nationwide power outages on the delivery of health and social care services. While business continuity plans cover power outages, preparatory contingency work is ongoing with partner agencies to ensure that all potential risks for widespread rolling power outages are covered.

## **7.0 PENTANA RISK MANAGEMENT SYSTEM**

- 7.1 Following on Risk Development Sessions with the Integration Joint Board members, development work on the Pentana Risk Management System is being undertaken.
- 7.2 Developments include linking the risks to the individual Actions in the current Strategic and Commissioning Plan Actions, and Performance Indicators where appropriate.
- 7.3 Documents will be added as links to the risks where they are part of the Control Factor. For example we plan to add the link to the Workforce Strategy document to the Staff Resource risk.
- 7.4 The inherent risks will be revisited to take into account external events which have meant that current scores are higher than previous inherent scores.
- 7.5 The target risk scores will be revisited to take into account the recent development work around risk appetite.
- 7.6 Pentana accounts and familiarisation sessions are being planned for Integrated Joint Board members so they can access the updated Pentana Risk Management System.

## **8.0 POLICY IMPLICATIONS**

- 8.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

## **9.0 RISK ASSESSMENT**

- 9.1 This report has not been subject to a risk assessment as it provides the IJB with an overview of the IJBs Strategic Risks.

## **10.0 CONSULTATIONS**

- 10.1 The Chief Officer, and the Clerk were consulted in the preparation of this report.

**11.0 BACKGROUND PAPERS**

11.1 None.

Dave Berry  
Chief Finance Officer

**DATE:** 9 January 2023

Clare Lewis-Robertson  
Senior Officer, Strategy and Performance

*This page is intentionally left blank*

**DUNDEE HEALTH AND SOCIAL CARE PARTNERSHIP – STRATEGIC RISK PROFILE January 2023**

PAC5-2023 Appendix 1

Description	Lead Director/Owner	Current Assessment			Status	Control Factors	Date Last Reviewed
		L	C	Exp			
<p><b>Staff Resource</b></p> <p>Post Covid recruitment challenges continue to exist in a range of roles including social care and nursing. Recruitment for Consultants and Doctors in specific areas such as Mental Health, and Substance Misuse has meant that there are significant difficulties in filling posts, with posts remaining vacant. These risks are detailed in Operational Risk Registers and have been escalated as risks for the Strategic Risk Register. The IJB has approved the Workforce Strategy</p>	Dundee HSCP Chief Officer	5	5	25	→	<ul style="list-style-type: none"> <li>• Developments of new models of care</li> <li>• Organisational development strategy</li> <li>• Service redesign</li> <li>• Workforce Strategy approved</li> </ul>	09/01/2023
<p><b>Dundee Drug and Alcohol Recovery Service</b></p> <p>Dundee Drugs Commission follow up report noted some progress being made, however a range of challenges still exist. This poses a significant reputational risk for the DHSCP. Reducing Harm Associated with Drug Use report presented to both the IJB and Dundee City Council in June 2022 sets out findings and priority areas for improvement in relation to substance use services. Risks and Control Factors around the implementation of the MAT Standards are included in the ADP Risk Register.</p>	Dundee HSCP Chief Officer	5	5	25	→	<ul style="list-style-type: none"> <li>• ADP Residential Rehab Pathway</li> <li>• Service Restructure</li> <li>• ADP Risk Register</li> </ul>	09/01/2023
<p><b>National Care Service</b></p> <p>The recent legislation published on the establishment of the National Care Service sets out plans to introduce Local Care Boards with the abolition of Integration Joint Boards. The Health and Social Care partnership recently responded to Scottish Government for views on the draft legislation. Similar to other bodies, significant concerns have been raised around the</p>	Dundee HSCP Chief Officer	5	5	25	→	<ul style="list-style-type: none"> <li>• Change Management</li> <li>• Engagement with consultation process</li> </ul>	09/01/2023

content of the bill in terms of scope and financial implications of the legislation.							
<p><b>Restrictions on Public Sector Funding</b></p> <p>Additional interventions by Scottish Government to seek the use of IJB's reserves has the potential to destabilise agreed investment plans eg Primary Care Improvement Funding.</p>	Dundee HSCP Chief Finance Officer	5	4	20	→	<ul style="list-style-type: none"> <li>• Additional Scot Gov funding</li> <li>• Budgeting arrangements</li> <li>• MSG and external audit recommendations</li> <li>• Savings and Transformation Plan</li> </ul>	09/01/2023
<p><b>Primary Care</b></p> <p>Challenges continue to present within Primary Care services, including the recent closure of Ryehill Medical Practice. Progress around development of Primary Care Improvement Plan has been impacted by the Scottish Government's changed stance on funding for 2022/23 by restricting overall funding available.</p>	Dundee HSCP Chief Officer	4	5	20	→	<ul style="list-style-type: none"> <li>• Maximise skills mix.</li> <li>• Longer term national work to increase undergraduate training</li> <li>• Test of change for IT infrastructure</li> <li>• Other funding sources identified as opportunities arise</li> </ul>	09/01/2023
<p><b>Staff resource is insufficient to address planned performance management improvements in addition to core reporting requirements and business critical work.</b></p> <p>Pressures still remain, however restructure and enhancement to service planned for over coming months. This risk was highlighted further in recent IJB reports around the the development of the IJB Strategic and Commissioning Plan.</p>	Dundee HSCP Chief Officer	5	4	20	→	<ul style="list-style-type: none"> <li>• Planned restructure and enhancement</li> </ul>	09/01/2023
<p><b>Unable to maintain IJB Spend</b></p> <p>Most recent financial projections note that the IJB is likely to be in financial balance at the end of the current financial year</p>	Dundee HSCP Chief Finance Officer	4	4	16	→	<ul style="list-style-type: none"> <li>• Financial monitoring system</li> <li>• Increase in reserves</li> <li>• Management of vacancies and discretionary spend</li> <li>• MSG and external audit recommendations</li> <li>• Savings and transformation plan</li> </ul>	09/01/2023
<p><b>Lack of Capital Investment in Community Facilities (including Primary Care)</b></p> <p>Restrictions in access to capital funding from the statutory partner bodies and Scottish Government to invest in existing and potential new developments to enhance community based health and social care services. This could potentially be exacerbated by the</p>	Dundee HSCP Chief Officer and Chief Finance Officer	4	4	16	→	<ul style="list-style-type: none"> <li>• To be developed</li> </ul>	09/01/2023

transitional period until the establishment of a National Care Service due to the uncertainty of funding and ownership of assets by the local authority and Health Board.							
<p><b>Cost of Living Crisis</b></p> <p>The cost of living and inflation will impact on both service users and staff , in addition to the economic consequences on availability of financial resources. The uncertainty of the fuel cost crisis is yet to be fully felt.</p>	Dundee HSCP Chief Officer and Chief Finance Officer	4	4	16	→	<ul style="list-style-type: none"> <li>To be developed</li> </ul>	09/01/2023
<p><b>Viability of External Providers</b></p> <p>Previous assessments have been affected by the Covid Pandemic, however the increase in energy prices in addition to fuel costs for staff travel in addition to staff pay pressures is already impacting this sector with concerns that a number will not be able to sustain their activities.</p>	Dundee HSCP Chief Officer	4	4	16	→	<ul style="list-style-type: none"> <li>Maintain regular communication with third sector essential service providers</li> </ul>	09/01/2023
<p><b>Impact of Covid 19</b></p> <p>The continuing focus on vaccination for staff will maintain the impact on delivery of services.</p>	Dundee HSCP Chief Officer	4	4	16	→	<ul style="list-style-type: none"> <li>Remobilisation plans</li> </ul>	09/01/2023
<p><b>Mental Health Services</b></p> <p>Tayside Mental Health Strategy continues to make progress, developments such as the Community Wellbeing Centre will enhance community supports for people with mental health issues.</p>	Dundee HSCP Chief Officer	4	4	16	→	<ul style="list-style-type: none"> <li>Community Wellbeing Centre development</li> <li>Tayside Mental Health Strategy</li> </ul>	09/01/2023
<p><b>Capacity of Leadership Team</b></p> <p>Leadership team continue to be impacted by workload pressures of the wider workforce recruitment challenges. This is likely to be exacerbated as preparations for the intro of the NCS develop over the coming period.</p>	Dundee HSCP Chief Officer	3	4	12	→	<ul style="list-style-type: none"> <li>Restructure</li> <li>Sharing of Management Team duties</li> </ul>	09/01/2023
<p><b>Governance Arrangements being Established fail to Discharge Duties</b></p> <p>Further progress made on ensuring actions on Governance Action Plan have been completed. External audit plan for 2021/22 noted a reduction in the</p>	Dundee HSCP Chief Officer	3	4	12	→	<ul style="list-style-type: none"> <li>Implementation of Governance Action Plan</li> </ul>	09/01/2023

key areas of assessment due to reduced risk associated with governance. Further refinement of the Governance Action Plan is being undertaken to reduce duplication of actions.							
<b>Increased Bureaucracy</b> Potential for additional bureaucracy through Scot Gov Covid enquiry and National Care Service development.	Dundee HSCP Chief Officer	3	3	9	→	• Support and roles	09/01/2023
<b>Employment Terms</b> Realistically won't be resolved within the suggested remaining IJB timeframe existence, but acknowledge this has an impact on the integration of Health and Social Care services.	Dundee HSCP Chief Officer	3	3	9	→	• Align conditions wherever possible	09/01/2023
<b>Category One Responder</b> The Category One Responder Action Plan was presented to and approved by the IJB on the 26 <sup>th</sup> October 2022.	Dundee HSCP Chief Officer	2	4	8	→	• 4 actions	09/01/2023

## Archived

No risks have been archived since the last Risk Register update.							
--	--	--	--	--	--	--	--

Risk Status	
↑	Increased level of risk exposure
→	Same level of risk exposure
↓	Reduction in level of risk exposure
x	Treated/Archived or Closed